

10/19/98

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER P66 4 33
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		
INTERNATIONAL APPLICATION NO. PCT/DE97/00800	INTERNATIONAL FILING DATE 18/04/97	U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR) 09/171558
		PRIORITY DATE CLAIMED 19/04/1996

TITLE OF INVENTION
Chromium(VI)-Free Conversion Layer and Method for Producing It

APPLICANT(S) FOR DO/EO/US
Patricia Preikschat, Rolf Jansen, and Peter Hulser

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- 1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- 2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- 3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
- 4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- 5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- 6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- 7. ☒ A copy of the International Search Report (PCT/ISA/210).
- 8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
- 9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- 10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
- 11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
- 12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

- 13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- 14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- 15. ☐ A **FIRST** preliminary amendment.
A **SECOND** or **SUBSEQUENT** preliminary amendment.
- 16. ☐ A substitute specification.
- 17. ☐ A change of power of attorney and/or address letter.
- 18. ☒ Certificate of Mailing by Express Mail
- 19. ☒ Other items or information:

- ☒ PTO - Form 1449
- ☒ Please cancel claims 2-28 without prejudice.

U.S. APPLICATION NO. (IF KNOWN, SEE ?)

INTERNATIONAL APPLICATION NO.

ATTORNEY'S DOCKET NUMBER

PCT/DE97/00800

P66 41713

20. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Search Report has been prepared by the EPO or JPO \$930.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) \$720.00
- ☐ No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$790.00
- ☒ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$1,070.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$98.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**CALCULATIONS PTO USE ONLY**

\$1,070.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	1 - 20 =	0	x \$22.00
Independent claims	1 - 3 =	0	x \$82.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>
TOTAL OF ABOVE CALCULATIONS			=
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).			<input type="checkbox"/>
SUBTOTAL			=
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).			<input type="checkbox"/>
TOTAL NATIONAL FEE			=
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input type="checkbox"/>
TOTAL FEES ENCLOSED			=
			Amount to be:
			refunded
			charged

\$0.00

\$0.00

\$0.00

\$1,070.00

\$0.00

SUBTOTAL =

\$1,070.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

\$0.00

TOTAL NATIONAL FEE =

\$1,070.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

\$0.00

TOTAL FEES ENCLOSED =

\$1,070.00

Amount to be:	\$
refunded	
charged	\$

☒ A check in the amount of **\$1,070.00** to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **16-2460** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**SEND ALL CORRESPONDENCE TO:**

Viviana Amzel. Ph.D.
Pretty, Schroeder & Poplawski
444 South Flower Street, 19th Floor
Los Angeles, California 90071
Tel: 213-622-7700
Fax: 213-489-4210

SIGNATURE

Viviana Amzel

NAME

30,930

REGISTRATION NUMBER

October 19, 1998

DATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Patricia Preikschat et al.

Docket No.

P66 41713

Serial No.
To Be AssignedFiling Date
October 19, 1998

Examiner

Group Art Unit

Invention: Chromium(VI)-Free Conversion Layer and Method for Producing It

I hereby certify that this US Patent Application

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
• 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on
October 19, 1998
(Date)

Joanne H. Housen

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)

EL 149 134 796 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

VERIFICATION OF TRANSLATION

RE: INTERNATIONAL PATENT APPLICATION PCT/DE97/00800

I, Helmut Madl, translator for

Winter, Brandl & Partners
Patent Attorneys and Attorneys at Law
of 85354 Freising, Germany,

am the translator into the English language of the documents of the above identified International Patent Application as originally filed, and I state that the following is a true translation to the best of my knowledge and belief. 3

.....
(Helmut Madl)

October 2, 1998